



U.S. Department
of Transportation

Research and
Special Programs
Administration

AUG 31 2000

400 Seventh Street, S.W.
Washington, D.C. 20590

DOT-E 11406
THIRD REVISION

EXPIRATION DATE: July 31, 2002

(FOR RENEWAL, SEE 49 CFR §107.109)

1. GRANTEE: Shippers and carriers of liquid or solid waste (henceforth called "waste") with low levels of external radiation who are approved by state radioactive material control officials registered with the Office of the Executive Director of the Conference of Radiation Control Program Directors (CRCPD), Frankfort, Kentucky.
2. PURPOSE AND LIMITATION:
 - a. This exemption authorizes the one-way transportation in commerce of shipments of waste which were found to contain unidentified radioactive contamination. In accordance with the provisions of this exemption, this material may be offered for transportation by highway or rail freight and is exempted from the classification, packaging, and hazard communication regulations normally required for transportation of radioactive material. This exemption provides no relief from any regulation other than as specifically stated herein.
 - b. The safety analysis performed in the development of this exemption only considered the hazards and risks associated with transportation in commerce.
3. REGULATORY SYSTEM AFFECTED: 49 CFR Parts 106, 107 and 171-180.
4. REGULATIONS FROM WHICH EXEMPTED: 49 CFR Part 172, Subparts C, D, E, F, G, and H as they pertain to required shipping papers, package marking and labeling, placarding, emergency response information, and training. Part 173, Subpart B, § 173.22(a)(1) as it pertains to classification of hazardous materials. Part 173, Subpart I as it pertains to packaging and transport of radioactive material. Part 174, Subpart K as it pertains to

AUG 31 2000

Continuation of DOT-E 11406 (3rd Rev.)

Page 2

detailed requirements for rail freight transport of radioactive materials. Section 177.842 as it pertains to highway transport of radioactive materials.

5. BASIS: This exemption is based on CRCPD's application dated May 26, 1999, submitted in accordance with § 107.109 and 107.105 and the public proceeding thereon.
6. HAZARDOUS MATERIALS (49 CFR § 172.101):

Hazardous materials description/proper shipping name	Hazard Class	Identification number	Packing Group
Radioactive material, excepted package-limited quantity of material	7	UN2910	N/A
Radioactive material, low specific activity, n.o.s.	7	UN2912	N/A
Radioactive material, surface contaminated object	7	UN2913	N/A
Radioactive material, n.o.s.	7	UN2982	N/A

7. SAFETY CONTROL MEASURES:

a. PACKAGING - The shipments are excepted from the packaging and transport requirements for radioactive material of Part 173, Subpart I and may be transported by motor vehicle or rail freight provided it is evident that radioactive material will not be released from the conveyance during transit and that the transport conditions in the shipment approval form specified in paragraph 7(c) of this exemption are satisfied.

AUG 31 2000

Continuation of DOT-E 11406 (3rd Rev.)

Page 3

b. CLASSIFICATION AND TESTING - The shipments are exempted from the classification and description requirement of 49 CFR § 173.22(a)(1) provided that the measured radiation levels at the external surface of the conveyance does not exceed 0.50 mSv/h (50 mrem/h).

c. COMMUNICATIONS - The packages and conveyances transported under this exemption are exempted from the communication requirements of 49 CFR Part 172, Subpart C (shipping papers), D (marking), E (labeling), and F (placarding) provided the communication provisions in the shipment approval form specified in paragraph 7(d) of this exemption are satisfied.

d. SHIPMENT APPROVAL by STATE RADIATION OFFICIAL - Prior to shipment of the waste, the state radiation control official of the state where the radiation was detected must evaluate the radiological risk associated with the transport of the material, under the conditions of this exemption, to a location where the radioactive material can be identified and properly treated. If the official believes that these risks are equivalent to the risk associated with normal transport of radioactive material in compliance with the regulations, he/she may authorize the shipment by completing and signing the shipment approval form shown in Annex A. Any additional or special conditions necessary for safe transport must be included in the approval.

e. SHIPMENT APPROVAL FORM DISTRIBUTION - Copies of the shipment approval form must be provided, in advance of the shipment, by the issuing official to the following:

- (1) the Office of the Executive Director, CRCPD, Frankfort, KY;
- (2) the cognizant person at the facility where the radioactive material was discovered;
- (3) the cognizant person at the facility from which the waste was shipped prior to detection;
- (4) the cognizant person at the facility to which the waste will be shipped for identification and/or treatment;
- (5) the state radiation official having authority over the facility receiving the shipment (after detection);

AUG 31 2000

Continuation of DOT-E 11406 (3rd Rev.)

Page 4

(6) the state radiation official having authority over the facility or company from which the shipment originated (before detection).

f. SHIPMENT APPROVAL for CARRIERS - The cognizant person at the facility where the radioactive material was discovered must provide a copy of the shipment approval to the operator of the vehicle used for highway shipments and to the railroad management or dispatch office for rail freight shipments.

g. IDENTIFICATION AND DISPOSITION OF RADIOACTIVE MATERIAL TRANSPORTED UNDER THIS EXEMPTION - Once the radionuclides in the waste are identified and disposition is arranged, the person responsible for the identification must complete the identification and disposition portion of the shipment approval form and provide the completed form to:

- (i) the Office of the Executive Director, CRCPD;
- (ii) the state official at the state of origin (prior to detection);
- (iii) the state official issuing the shipment approval;
and
- (iv) the state official of the state where identification and disposition occurred, if different from (ii).

8. SPECIAL PROVISIONS:

a. Shipment Approval Assigned Number - One official in each state must assign and maintain a list of shipment approval numbers for all shipment approvals issued by that state under DOT-E 11406. The eight figures in the shipment approval number should be determined as follows: the first two characters are the abbreviation of the state of origin; the third and fourth characters must be the abbreviation of the state of destination; the fifth and sixth characters must be the last two digits of the year of issue; the seventh and eighth characters must be the sequential number of the shipment approved for that year between those states. For example PA-NJ-00-02 would be the second shipment from Pennsylvania to New Jersey that was approved by the official during 2000.

AUG 31 2000

- b. Each state radioactive material official approving shipments must have a copy of this exemption and a copy of Title 49 of the Code of Federal Regulations. This official should also provide a copy of this exemption and their implementing instructions to all managers of landfill, incineration or other waste processing facilities that have installed radiation monitoring systems within the state.
9. MODES OF TRANSPORTATION AUTHORIZED: Rail freight and motor vehicle.
10. MODAL REQUIREMENTS:
- a. A copy of the shipment approval document must be carried in the cab of the motor vehicle. For shipments by rail freight, the railroad management will provide train crews with the identity of the rail car and its position in the train.
- b. Each carrier must ensure that the shipment described on the shipment approval document is transported over the most appropriate route without unnecessary or avoidable delay.
- c. The shipment approval form and other provisions of this exemption satisfy: the Emergency Information and Training requirements of 49 CFR Part 172, Subpart G and Subpart H, and the modal Class 7 material requirements of Part 174, Subpart K and Part 177, Subpart B.
11. COMPLIANCE: Failure by a person to comply with any of the following may result in suspension or revocation of this exemption and penalties prescribed by the Federal hazardous materials transportation law 49 U.S.C. 5101 et seq:
- o All terms and conditions prescribed in this exemption and the Hazardous Materials Regulations, 49 CFR Parts 171-180.
 - o Registration required by §107.601 et seq., when applicable.

Each "Hazmat employee", as defined in §171.8, who performs a function subject to this exemption must receive training on the requirements and conditions of this exemption in addition to the training required by §172.700 through §172.704.

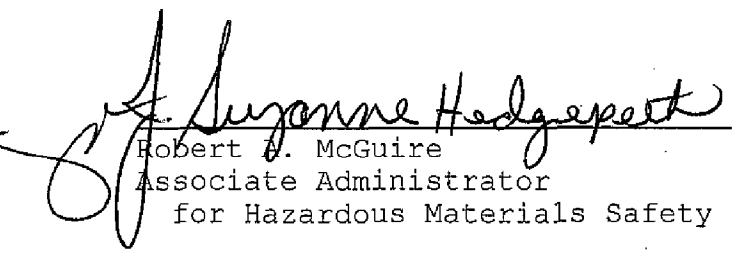
No person may use or apply this exemption, including display of its number, when the exemption has expired or is otherwise no longer in effect.

12. REPORTING REQUIREMENTS: In addition to the reporting requirements of §171.15, §171.16, and §174.750 or §177.854, a carrier must report, as soon as practicable, any incident involving a shipment in transportation under this exemption to the Associate Administrator for Hazardous Materials Safety by calling the National Response Center at 1-(800)424-8802. A call must also be made to the state official signing the shipment approval as identified in paragraph 7(d). These telephonic notices should identify that the shipment is under DOT-E 11406 and the eight-digit shipment approval identification number.

Issued at Washington, D.C.:

AUG 31 2000

(DATE)


Robert A. McGuire
Associate Administrator
for Hazardous Materials Safety

Address all inquiries to: Associate Administrator for Hazardous Materials Safety, Research and Special Programs Administration, Department of Transportation, Washington, D.C. 20590.
Attention: DHM-31.

The original of this exemption is on file at the above office. Photo reproductions and legible reductions of this exemption are permitted. Any alteration of this exemption is prohibited.

Copies of exemptions may be obtained from the AAHMS, U.S. Department of Transportation, 400 7th Street, SW, Washington, DC 20590-0001, Attention: Records Center, 202366-5046.

PO: awc00

AUG 31 2000

DOT-E 11406 SHIPMENT APPROVAL FORM

Approval No _____ (Refer to E 11406, para. 8a)

This shipment of waste or recycle materials contains unidentified radioactive material causing low level radiation outside the vehicle. Shipment is under Exemption DOT-E 11406 without a determination of materials meeting or not meeting the regulatory definition of radioactive material. The shipment is a minor radiological concern based on considerations of the U.S. Dept. of Transportation and the state official signing this shipment approval document.

DETAILS of DETECTION SITE, MATERIALS, and ORIGIN

Facility: Name _____ Type: _____

Address: _____

① Contact person: _____ Ph. _____ Fax. _____

☐ Highway or ☐ Rail Vehicle Type: _____ Id.No.: _____

Company: _____ Operator name: _____

② Contact person: _____ Ph. _____ Fax. _____

Description of waste and release risk factors: _____

Radiation Measurement Date/time performed: _____

mrem/h (max) _____ location on vehicle _____

Inst.Mfgr./type/model _____ Bkg. mrem/h _____

Surveyor name: _____ Ph. _____

Shipment Origin Company: _____ Address: _____

Waste Origin: _____

③ Contact person: _____ Ph. _____ Fax. _____

RADIATION CONTROL OFFICIALS (Detection, Origin, Destination States)

Detection State Official (receiving radiation detection info) Name: _____

④ Organization _____ Ph. _____ Fax. _____

Origin State Official (prior to detection) Name: _____

⑤ Organization _____ Ph. _____ Fax. _____

Destination State Official (after detection) Name: _____

⑥ Organization _____ Ph. _____ Fax. _____

DESTINATION for RADIOACTIVE MATERIAL IDENTIFICATION and/or DISPOSITION

If carrier and shipper to this location are different than ② and ③, show info in REMARKS

Company Name: _____ Location: _____

⑦ Contact person: _____ Ph. _____ Fax. _____

AUG 31 2000

E 11406 Approval No _____

Page 2

APPROVAL of SHIPMENT and SPECIAL CONDITIONS

Conditions: _____

⑧ Signature: _____ Ph. _____ Fax. _____

Title _____ Organization _____ Date _____

IDENTIFICATION of RADIOACTIVE MATERIAL and DISPOSITION INFORMATION at DESTINATION

⑨ Name: _____ Title: _____ Date: _____

Organization: _____ Ph. _____ Fax. _____

RECORD of TRANSMITTALS (Shipment Approvals and identification/disposition)
(Circumstances may influence distribution)

Shipment Approvals (Sent by ④ or ⑧) to (Show date sent)

OED CRCPD _____, ① _____, ② _____, ③ _____,

⑤ _____, ⑥ _____, ⑦ _____, OTHER _____

Record of Identification and Disposition (Sent by ⑦, ⑨, or other _____) to

OED CRCPD _____, ③ _____, ⑤ _____, ⑥ _____,

④ or ⑧ _____, OTHER _____

REMARKS, OTHER INFORMATION

In case of an emergency, notify the National Response Center ((800)424-8802) and the (⑧) authorizing official and give the Exemption No. E 11406 and Approval No.